



Express Mail No. EV463245005US

Deposited on: 10/20/2004

PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

|   |                               |                      |
|---|-------------------------------|----------------------|
| <b>TRANSMITTAL<br/>FORM</b><br><br>(to be used for all correspondence after initial filing) | <b>Application Number</b>     | 09/996,142           |
|   | <b>Filing Date</b>            | 11/28/2001           |
|   | <b>First Named Inventor</b>   | Resasco et al.       |
|   | <b>Group Art Unit</b>         | 1754 (Conf. No 3756) |
|   | <b>Examiner Name</b>          | S. Hendrickson       |
| <b>Total Number of Pages in This Submission</b>   | <b>Attorney Docket Number</b> | 5820.613             |

| <b>ENCLOSURES (check all that apply)</b>   |   |  |
|--|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Assignment Papers (for an Application)                         | <input type="checkbox"/> After Allowance Communication to Group                            |
| <input checked="" type="checkbox"/> Amendment / Reply<br><input checked="" type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)   | <input type="checkbox"/> Drawing(s)   | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
| <input type="checkbox"/> Extension of Time Request   | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> Express Abandonment Request   | <input type="checkbox"/> Petition   | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Information Disclosure Statement  | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Certified Copy of Priority Document(s)  | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input type="checkbox"/> Other Enclosure(s) (please identify below):                       |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application  | <input type="checkbox"/> Terminal Disclaimer  | See remarks below:   |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53   | <input type="checkbox"/> Request for Refund   |  |
|  | <input type="checkbox"/> CD, Number of CD(s) _____                                      |  |
| <b>Remarks</b><br>1. Transmittal (1 page);<br>2. Fee Transmittal (1 page);<br>3. Fee Determination Record (1 page);<br>4. Credit Card Payment Form (1 page);<br>5. Amendment and Response (22 pages); and<br>6. Return Receipt Postcard. |   |  |

| <b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b> |   |
|---|---|
| Firm or Individual name                           | DUNLAP, CODDING & ROGERS, P.C., Customer Number 30589<br>P. O. Box 16370, Oklahoma City, Oklahoma 73113; Christopher W. Corbett |
| Signature   |   |
| Date  | 10/20/04  |

| <b>CERTIFICATE OF MAILING</b>  |   |
|--|---|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail or U.S. Express mail no. EV463245005US in an envelope addressed to the address below on this date: 10/20/2004 |   |
| Typed or printed name  | Christopher W. Corbett, Reg. No. 36,109 |
| Signature  | Date 10/20/04                           |

SEND TO: Mail Stop Fee Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450



Express Mail No.: EV463245005US

Date Deposited: 10/20/2004

PTO/SB/17 (10-04)  
Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

# FEE TRANSMITTAL for FY 2005

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 528

## Complete if Known

|                      |                |
|----------------------|----------------|
| Application Number   | 09/996.142     |
| Filing Date          | 11/28/2001     |
| First Named Inventor | Resasco et al. |
| Examiner Name        | S. Hendrickson |
| Art Unit             | 1754           |
| Attorney Docket No.  | 5820.613       |

## METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
Name

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 1001         | 790      | 2001         | 395      | Utility filing fee     |          |
| 1002         | 350      | 2002         | 175      | Design filing fee      |          |
| 1003         | 550      | 2003         | 275      | Plant filing fee       |          |
| 1004         | 790      | 2004         | 395      | Reissue filing fee     |          |
| 1005         | 160      | 2005         | 80       | Provisional filing fee |          |

SUBTOTAL (1) (\$ ) 0

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims | Fee from below | Fee Paid     |
|--------------------|--------------|----------------|--------------|
| 37                 | - 50 ** = 0  | X 9            | = \$0        |
| Independent Claims | 16           | - 4 ** = 12    | X 44 = \$528 |
| Multiple Dependent |              |                | = \$0        |

| Large Entity |          | Small Entity |          | Fee Description  |
|--------------|----------|--------------|----------|--|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |
| 1202         | 18       | 2202         | 9        | Claims in excess of 20                                     |
| 1201         | 88       | 2201         | 44       | Independent claims in excess of 3                          |
| 1203         | 300      | 2203         | 150      | Multiple dependent claim, if not paid                      |
| 1204         | 88       | 2204         | 44       | ** Reissue independent claims over original patent         |
| 1205         | 18       | 2205         | 9        | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ ) 528

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity | Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|----------|----------|----------|----------|--|----------|
| 1051     | 130      | 2051     | 65       | Surcharge - late filing fee or oath  |          |
| 1052     | 50       | 2052     | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053     | 130      | 1053     | 130      | Non-English specification  |          |
| 1812     | 2,520    | 1812     | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 1804     | 920*     | 1804     | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805     | 1,840*   | 1805     | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251     | 110      | 2251     | 55       | Extension for reply within first month                                     |          |
| 1252     | 430      | 2252     | 215      | Extension for reply within second month                                    |          |
| 1253     | 980      | 2253     | 490      | Extension for reply within third month                                     |          |
| 1254     | 1,530    | 2254     | 765      | Extension for reply within fourth month                                    |          |
| 1255     | 2,080    | 2255     | 1,040    | Extension for reply within fifth month                                     |          |
| 1401     | 340      | 2401     | 170      | Notice of Appeal   |          |
| 1402     | 340      | 2402     | 170      | Filing a brief in support of an appeal                                     |          |
| 1403     | 300      | 2403     | 150      | Request for oral hearing   |          |
| 1451     | 1,510    | 1451     | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452     | 110      | 2452     | 55       | Petition to revive - unavoidable   |          |
| 1453     | 1,370    | 2453     | 685      | Petition to revive - unintentional   |          |
| 1501     | 1,370    | 2501     | 685      | Utility issue fee (or reissue)   |          |
| 1502     | 490      | 2502     | 245      | Design issue fee   |          |
| 1503     | 660      | 2503     | 330      | Plant issue fee  |          |
| 1460     | 130      | 1460     | 130      | Petitions to the Commissioner  |          |
| 1807     | 50       | 1807     | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806     | 180      | 1806     | 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021     | 40       | 8021     | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809     | 790      | 2809     | 395      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810     | 790      | 2810     | 395      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801     | 790      | 2801     | 395      | Request for Continued Examination (RCE)                                    |          |
| 1802     | 900      | 1802     | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 0

## SUBMITTED BY

(Complete if applicable)

Name (Print/Type)

Christopher W. Corbett

Registration No.  
(Attorney/Agent)

36,109

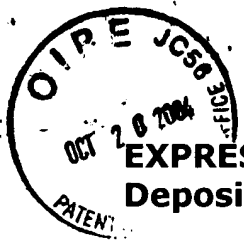
Telephone (405) 607-8600

Signature

Date

10/20/2004

Mail Stop Fee Amendment  
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10-2104

AF/1754  
4/21/04

**EXPRESS MAIL NO.: EV463245005US**

**Deposited On: October 20, 2004**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Application No. : 09/996,142 Confirmation No.: 3756**  
**Applicant(s) : Daniel E. Resasco, Boonyarach Kitiyanan,**  
**Walter E. Alvarez and Leandro Balzano**  
**Filed : 11/28/2001**  
**TC/A.U. : 1754**  
**Examiner : S. Hendrickson**  
**Title : METHOD AND APPARATUS FOR PRODUCING**  
**SINGLE-WALLED CARBON NANOTUBES**

**Docket No. : 5820.613**  
**Customer No. : 30589**

**Mail Stop Fee Amendment**  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

**AMENDMENT AND RESPONSE**

Sir:

In response to the Office Action mailed August 31, 2004, please amend the above-identified application as follows:

**Amendment to the Claims** are reflected in the listing of claims which begins on page 2 of this paper.

**Remarks/Arguments** begin on page 20 of this paper.

10/25/2004 AWONDAF1 00000018 09996142

01 FC:2201

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